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TO: (Name, office symbol, room number, building, Agency/Post)		17 APR 86
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2. ADDA	<i>EM</i>	17.4
3. DDA	<i>X</i>	17 APR 1986
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REMARKS

cc: D/OP

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EXECUTIVE SECRETARIAT
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Remarks

TO #8: Do you have a recommendation for
DDCI-D on this?

Executive Secretary

16 Apr 86

Date

STAT

National Aeronautics and
Space Administration
Ames Research Center
Moffett Field, California 94035

Executive Registry
86- 1503X

NASA

D:200-1

APR 11 1986



Mr. John McMann
Deputy Director
Central Intelligence Agency
Washington, DC 20505

Dear Mr. McMann:

Ames Research Center has been searching for a candidate for Chief, Science and Applications Aircraft Division. We have completed our search and will be recommending Mr. James Cherbonneaux for this Senior Executive Service position.

Part of the process of having someone appointed to the Senior Executive Service (SES) involves a presentation of the person's qualifications to the Office of Personnel Management (OPM). The presentation must include recommendations from people outside the organization who can attest to the candidate's qualifications. I would appreciate it very much if you could write a letter to me, outlining your support for Mr. Cherbonneaux's candidacy.

The OPM requires that replies from references speak to the candidate's executive qualifications in terms of the following six activity areas:

1. Integration of Internal and External Program/Policy Issues
2. Organizational Representation and Liaison
3. Direction and Guidance of Program, Projects, or Policy Development
4. Resource Acquisition and Administration
5. Utilization of Human Resources
6. Review of Implementation and Results

In order to satisfy OPM requirements, your reply should state that you reviewed the executive qualifications outlined in "A Guide to Executive Qualifications" (the six activities listed above) and that you considered Mr. Cherbonneaux to have either

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satisfied these requirements or have the potential for doing so.
For your information, a copy of "A Guide to Executive
Qualifications" is enclosed.

Sincerely,

A handwritten signature in cursive script, reading "Wm F. Ballhaus, Jr.", written in dark ink.

William F. Ballhaus, Jr.
Director

Enclosure

A Guide to Executive Qualifications

*Prepared by:
Loretta R. Flanders, Ph.D.
Lisa Carlson
Kathy Colbourn*

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Introduction

Executive qualifications is the term used in the statutory provisions (5 USC 3393) on the Senior Executive Service (SES) to describe the qualifications that must be certified by Qualifications Review Boards (QRBs) for all initial career appointments in the SES. These boards are convened on an ad hoc basis by the U.S. Office of Personnel Management (OPM). More than one-half of the members of each QRB must hold SES career appointments. Agencies provide OPM with lists of individuals eligible to sit on QRBs.

In accordance with the intent of the law establishing the Senior Executive Service, OPM has defined executive qualifications in terms of generic management functions and competencies associated with SES-level jobs. These qualifications are in addition to agency-specified qualifications for their SES positions. Agencies generally require some type of technical or program content qualifications-expertise (e.g., engineering, scientific, legal, computer science, social sciences) for each of their

SES positions, as well as management-related qualifications.

QRB certification of the qualifications discussed in this guide is the last step in the recruitment-selection process for most SES career appointments. The exception to this is certification of executive qualifications of persons who successfully complete an OPM-approved executive development program prior to being selected by an agency for a specific SES vacancy. Graduates of executive development programs who are certified and not immediately placed in SES positions make up a pool of candidates for the Senior Executive Service.

This guide provides information for (a) individuals interested in assessing and developing their executive qualifications, and (b) those involved in the executive selection and/or development process—Executive Resources Boards, Qualifications Review Boards, and agency personnel and executive development specialists.

Section I.

Executive Qualifications and Certification

Executive Qualifications

Executive qualifications for initial career appointments in the Senior Executive Service were identified through systematic research and analysis using studies of public and private sector executive work. See the Appendix for a brief discussion of this research base. The commonalities in executive positions relate to broad management functions—activities and competencies. Thus the qualifications for initial SES career appointments that must be certified by a Qualifications Review Board are defined in terms of competence to assume leadership responsibilities in the following activity areas:

I. Integration of Internal and External Program-Policy Issues—

Involves seeing that key national and agency-wide goals, priorities, values, and other issues are considered in making program decisions. Major competencies within this activity area are:

- Identifying and integrating key issues affecting the organization. These issues include political, economic, social, technological, and administrative factors.
- Working with and through the national policy making-implementation structure and procedures (e.g., Presidential leadership and political positions, legislative processes, judicial review) and, as relevant, other governmental jurisdictions and private sector organizations.

II. Organizational Representation and Liaison—

Focuses upon the external communications aspects of executive positions, including being a representative for the work unit and/or organization and coordinating with other work units and organizations. Major competencies within this activity area are:

- Representing (e.g., presenting, negotiating, selling, defending) the organization before a variety of people, including agency heads and other political and career executives, members and staff of Congress, the media, clientele, and professional groups.

- Working in groups and teams, conducting briefings and other meetings.
- Establishing and maintaining working relationships within the organization (e.g., with other program areas and staff support functions) and with relevant external groups and organizations.
- Seeing that reports, memos, and other documents reflect the position of the organization.

III. Direction and Guidance of Programs, Projects, or Policy Development—

Involves activities related to establishing program-policy goals and the structure and processes necessary to carry them out. Major competencies within this activity area are:

- Planning—setting goals, objectives, and priorities; integrating short- and long-term goals; identifying contingencies, strategies, resources needs.
- Assessing program, policy, project feasibility.
- Setting effectiveness, efficiency, and productivity standards.
- Organizing structure and work.

IV. Acquisition and Administration of Financial and Material Resources—

Concerns activities and procedures related to obtaining and allocating the financial and material resources necessary to support program or policy implementation. Major competencies within this activity area are:

- Managing the budgetary process—preparing, justifying, operating through organizational and congressional procedures, administering.
- Overseeing procurement-contracting procedures and processes.
- Directing-coordinating logistical operations.

V. Utilization of Human Resources—

Involves activities and processes for ensuring that people are appropriately employed, effectively and efficiently utilized, developed,

and dealt with in a fair and equitable manner. Major competencies within this activity area are:

- Acquiring staff through appropriate staffing processes—workforce planning, recruitment and selection, including affirmative action and EEO.
- Delegating work among subordinate groups and individuals.
- Conducting performance appraisals and providing appropriate rewards and/or disciplinary action.
- Assessing individual capabilities and needs and providing coaching, counseling, and career development opportunities.
- Resolving conflicts and attending to morale and organizational climate issues.

VI. Review of Implementation and Results—

Involves activities and procedures for seeing that programs and policies are being implemented, adjusted as necessary, and that the appropriate results are being achieved. Major competencies within this activity area are:

- Monitoring work status through formal and informal means.
- Diagnosing and consulting on problem areas relating to implementation and goal achievement.
- Evaluating technical and non-technical program outcomes and impacts.

- Assessing overall effectiveness, efficiency, and productivity of the organizational unit.

These qualifications were first established in FPM Bulletin 920-32. Those familiar with this will note some slight modifications in the terminology. These do not change the substance of the areas, but are intended to refine and clarify their meaning.

Certification

The merit staffing process for filling SES positions with career appointees is conducted by the agencies in accordance with the OPM regulations and guidelines. The person selected is then nominated by the agency for an SES career appointment, which requires certification of the nominee's executive qualifications in the six activity areas by a Qualifications Review Board.

QRBs certify these qualifications on the basis of one of the criteria specified in law: (a) demonstrated executive experience, (b) successful participation in an OPM-approved executive development program, or (c) possession of special or unique qualities which indicate a likelihood of executive success. It should be noted that the agency Executive Resources Board plays the determining role in the selection, development, and evaluation of participants in the agency's SES candidate development program. Therefore the documentation required for QRB certification of criterion b nominees is somewhat different from that used in criteria a and c cases.

Section II

Writing and Assessing Qualifications Statements

A Competency-Based Approach

The review process used in QRB certification of executive qualifications is essentially a competency-based approach. This is one that focuses upon an individual's (1) actions, behaviors, and accomplishments in job-related activities, and/or (2) characteristics and qualities associated with effectively performing these activities. There is no ranking or comparison of individuals. SES nominees are handled on a case-by-case basis, in which the scope, quality, and depth of the individual's qualifications are judged within the context of the executive activity areas and associated competencies.

Key Elements in Competency-Based Qualifications Statements

While examples are essential in a competency-based assessment process, it is useful to provide a brief summary of managerial experience or potential prior to addressing the activity areas. This gives reviewers an overview of the scope and depth of the individual's qualifications. At least one example, containing the following elements, should be included for each executive activity area:

1. Specific job-related **activities** in which the individual participated and a description of what the individual did in the activities. The major competencies identified within each activity area provide a guide to the key types of job activities and actions (e.g., planning, budgeting, performance appraisals, diagnosing problems, integrating issues, assessing, representing, working with others) that are relevant to executive jobs.
2. Description of the **context or environment** within which the activities occurred, including (as relevant) mention of other individuals or groups involved (e.g., clientele groups, members or staff of Congress, political appointees, subordinates) and the nature of the situation (e.g., stable, ambiguous, complex, containing long-term implications).
3. **Outcomes or results** of the activities to which the individual contributed. These provide indicators of quality and effectiveness of performance, and demonstrate ability to achieve results, which is a key requirement of executive positions.

Qualifications statements that adequately address three elements—activities, context-environment, and out-

comes-results—provide reviewers with the type of information needed to efficiently make sound assessments of executive qualifications. Using examples relevant to planning (from Activity Area III—Direction and Guidance of Programs, Projects, or Policy Development), the following paragraphs illustrate this framework for qualifications statements.

Example A

I directed a task force (activity) composed of representatives from 3 bureaus in my agency, 2 other Federal agencies, and 5 state and local governments (context-environment) that had to produce a contingency plan for the coordination of local, state, and Federal services in natural disasters (activity and context-environment). The plan was accepted with no major changes and was first used in dealing with the floods in several Southeastern states in the spring of 1978 (outcomes-results). It was slightly modified after this experience and has since become the prototype for dealing with other disaster situations (outcomes-results).

Example B

I supervised my staff of 8 professional engineers in the development of a complex technological forecast (activity). It had to be completed on a crash basis in order for the company to compete for a major contract with the Army (context-environment). This technological forecast was completed on time and the contracting documents indicated that the forecast was a major factor in the company being awarded the contract (outcomes-results).

Example C

I conducted an extensive manpower planning study (activity) for my bureau, which in late 1980 employed 5000 people (context-environment). Based on assessing program needs and the changing emphases of the new administration, I recommended the gradual phasing out of certain functions and their replacement by contracting out (activity and context-environment). As a consequence of using this plan and its recommendations, the bureau did not incur significant reductions in its budget and is not expected to have to run a RIF in the next 2 years (outcomes-results).

General Suggestions

In addition to using the competency-based framework of activities, context-environment, and outcomes-results, the following points should also aid the writing and assessing of executive qualifications statements.

1. Competence in the executive activity areas may be demonstrated in a variety of ways including: as a part of regular supervisory-managerial responsibilities (Example B from preceding page); in special assignments, such as a task force (Example A from preceding page) or in non-job contexts (e.g., volunteer or professional organizations); or as a specialist responsible for doing much of the technical work on a plan, budget, or other project (Example C from preceding page). In addition, it is useful to cite, if relevant, formal training experiences.
2. The executive activity areas and competencies are generic and applicable to comparable non-government jobs as well as to Federal positions (Example B from preceding page), with the possible exception of one of the competencies in Activity Area I—"working with and through the national policy making-implementation structure and procedures."

However, even in that instance many persons in the private sector deal with these processes as well. For example, a lawyer might indicate that "In private practice I was responsible for interpreting SEC and national rules and policies to clients and for advising clients on how to design business strategies, services, and applications in compliance with SEC and other regulations as well as in anticipation of policy trends at the SEC. To illustrate, I handled a major case for . . ."

3. It is not expected or required that a person be a subject matter expert in the context of the activity areas (e.g., planning, budgeting, congressional procedures, program evaluation, contracting). Nor is it necessary to specifically address each competency identified in the activity areas. What is necessary is that the qualifications statements contain sufficient representative examples to provide a sound basis for reviewers to adequately assess the breadth and depth of the individual's executive qualifications in terms of competence to assume leadership responsibilities in the activity areas.

Section III

Qualifications Review Boards Case Examples

The following pages provide examples in each of the six executive activity areas of inadequate and good qualifications statements taken from cases that have been considered by Qualifications Review Boards. The purpose of including these examples is twofold: (1) to highlight the differences between generally stated qualifications (inadequate) and qualifications statements that reflect a competency-based approach (good); and (2) to illustrate the variety of ways in which information about the nominees has been presented.

The examples are footnoted with explanations concerning the quality of the information. The inadequate examples are characterized by a listing of broad job responsibilities, with no specific examples of how activities were performed or their results-outcomes. Conversely, the good examples contain illustrations of activities that cover the individual's actions, the context of the activity, and indicators of results-outcomes.

Activity Area I: Integration of Internal and External Program-Policy Issues

CONTENT DESCRIPTION AND COMPETENCIES: Involves seeing that key national and agency-wide goals, priorities, values, and other issues are considered in making program decisions. Major competencies within this activity area are:

- Identifying and integrating key issues affecting organization. These issues include political, economic, social, technological, and administrative factors.
- Working with and through the national policy making-implementation structure and procedures (e.g., Presidential leadership and political positions, legislative processes, judicial review) and, as relevant, other governmental jurisdictions and private sector organizations.

Inadequate Example

"Mr. X has reviewed statutes, appropriation language, congressional actions, external agency fiscal policy to develop plans and procedures for implementing programs and projects.¹ He has also maintained close working relationships with internal and external activities in developing uniform programs and policies."²

Notes

1. *There are no examples present to illustrate any of the above assertions. Types of programs and/or projects are not described and there is no indication of the kinds of internal or external issues related to the programs.*
2. *No explanation is offered as to how working relationships were maintained in terms of integrating issues into programs. The statements are too general to indicate any substantive experience in this activity area, especially as results or outcomes of work are not described.*

Good Example

"Ms. Y undertook the task of coordinating and providing legal direction for reviving several previously moribund enforcement programs involving regulations issued under the Emergency Petroleum Allocation Act.¹ This major effort required Ms. Y's extensive coordination with other offices of the General Counsel, the Office of Enforcement of the Economic Regulatory Administration, the six Chief Enforcement Counsels, and the six Enforcement Districts.² This involved researching the issues, developing the appropriate legal strategies, and implementing these strategies into a full enforcement program.³ For example, Ms. Y worked with the six Chief Enforcement Counsels and the six District Managers, as well as with other parts of the Office of the General Counsel and the national Enforcement Office, to devise a method of quickly and effectively auditing natural gas liquid processors.⁴ Her efforts resulted in a program in which all six districts for the first time audited natural gas liquid processors in the same way, and were able to issue legally sufficient enforcement documents which were consistent with the regulations and other agency policy. During her 1½ years in the Office, Ms. Y took a program in which no enforcement documents had been issued in the prior 4 years, and was directly responsible for the issuance of over \$300 million in enforcement documents. In addition she coordinated the consent order effort in this area, which resulted in real settlements in excess of \$59 million.⁵

Notes

1. *This statement describes the major activity performed within this activity area.*
2. *The environment in which the activity occurred (different regions and offices) is described.*
3. *A listing of major tasks required to accomplish work helps to highlight the nature of the activity.*
4. *Again, the environment in which work was performed is mentioned.*
5. *This final section lists several results of the work performed, including cost savings, streamlined work process, and increased organization productivity.*

Activity Area II: Organizational Representation and Liaison

CONTENT DESCRIPTION AND COMPETENCIES: Focuses upon the external communications aspects of executive positions, including being a representative for the work unit and/or organization and coordinating with other work units and organizations. Major competencies within this activity area are:

- Representing (e.g., presenting, negotiating, selling, defending) the organization before a variety of people, including agency heads and other political and career executives, members and staff of Congress, the media, clientele, and professional groups.
- Working in groups and teams, conducting briefings and other meetings.
- Establishing and maintaining working relationships within the organization (e.g., with other program areas and staff support functions) and with relevant external groups and organizations.
- Seeing that reports, memos, and other documents reflect the position of the organization.

Inadequate Example

"Ms. X's current responsibilities require the ability to effectively work with high-level officials, within and outside of the agency. She has maintained beneficial relationships with several major Departments.¹ She has presented comprehensive briefing papers projecting the viewpoints of her current office and the agency in a variety of settings.² The daily business of her work requires persuading, selling, and negotiating as a routine order of business and Ms. Y possess the talents to effectively discharge these responsibilities."³

Notes

1. The fact that "beneficial relationships" exist is not substantiated with information about how she maintains them or what the results have been; thus it is difficult for the reader to judge her competence.
2. This is a duty statement, much like ones found in a position description. What is needed here is an example of how the viewpoints were projected and what resulted from the presentations.
3. This statement is a general assertion and offers no specific evidence that a reader may review in order to determine whether the assertion is indeed warranted.

Good Example

"While a project engineer, Mr. Y represented his company as well as the U.S. Government and NATO in resolving difficult issues regarding spare parts for the F-84 aircraft.¹ Many of the spare parts were manufactured by foreign industrial organizations throughout Europe. This lack of manufacturing consistency resulted in numerous problems with discrepant parts, followed by severe pilot safety implications.² Mr. Y was selected to brief top-level NATO operational managers and their pilots concerning the spare parts problem, safety precautions and aircraft performance capabilities. More significantly, this assignment involved visiting all manufacturing plants, inspecting all spare parts inventories and gaining the cooperation and confidence of Europe's top defense-related equipment manufacturers. In this capacity, Mr. Y had been authorized by NATO to make the final determination on whether the multitude of individual parts would be accepted, scrapped, or were suitable for repair.³ Only through the thorough professionalism displayed by Mr. Y were the U.S. and NATO able to gain the confidence and cooperation of the foreign industrialists, to insure that corrective action was taken to resolve the defective spare parts inventory and, in turn, to improve the safety for U.S. and NATO pilots."⁴

Notes

1. This statement gives some evidence of the variety of audiences this nominee has dealt with that are relevant to this activity area.
2. Explanation of a problem area that involves organizational representation competence is a good context in which to succinctly highlight experience and knowledge.
3. These statements describe the individual's actions and give more information on the context of the situation.
4. This statement cites outcomes, or what resulted from the nominee's organizational liaison activities.

Activity Area III: Direction and Guidance of Programs, Projects, or Policy Development

CONTENT DESCRIPTION AND COMPETENCIES: Involves activities related to establishing program-policy goals and the structure and processes necessary to carry them out. Major competencies within this activity area are:

- Planning—setting goals, objectives, and priorities; integrating short- and long-term goals; identifying contingencies, strategies, resource needs.
- Assessing program, policy, project feasibility.
- Setting effectiveness, efficiency, and productivity standards.
- Organizing structure and work.

Inadequate Example

"Mr. X's present organization consists of 176 employees.¹ His responsibilities run the full gamut of administrative support functions. He has effected major management improvements of our computer capabilities.² In addition, Mr. X was recently detailed as a Special Assistant to the Director, where he had the opportunity to perform staff assignment activities in all areas of Administration including personnel, budget, ADP, MIS, accounting and procurement. This detail assignment afforded him a unique overview perspective, as well as specific involvement in many project issues."³

Notes

1. Numbers of employees supervised is not in itself indicative of competence in this or any other activity area. Additional information is needed which shows how the numbers of employees supervised relates to the competencies being addressed.
2. This statement is a general assertion and is not illustrative of how or why the nominee was able to do this.
3. A listing of staff assignments alone does not indicate any specific experience in the direction and guidance of programs, projects or policy. Note that an SF 171 provides this type of information, and the purpose of this executive qualifications analysis is to assess individual competencies (e.g., behaviors, actions, characteristics, etc.) used in job-relevant situations.

Good Example

"Ms. Y has had responsibility for the management of the agency's Program, which in 1979 involved more than \$280 million, or 40 percent, of the agency's funds.¹ She developed the initial program goals and objectives and determined the appropriate area of emphasis. She has responded to the changing needs of the clientele, including working with related government agencies, in order to provide the best possible service.² She is the final authority on approval or rejection of new projects and thereby sets program priorities. Ms. Y has also been involved in developing guidance and goals in a number of areas. In 1976, for example, she directed a task force on urban policy, which laid much of the important groundwork for the agency's policy in this area.³ She also played a critical role in the development of policies and procedures, including a handbook, for the \$2 billion Local Public Works Program carried out in FY '77."⁴

Notes

1. A primary activity for which the nominee is responsible (direction of a major program) is described. Reference to the funding amount for the program provides an indication of scope of responsibility in this activity.
2. The environment in which this activity occurs (working with other agencies) is mentioned.
3. This example illustrates an outcome of the activity—groundwork for a significant policy area was laid. (However, the statement could have been a bit more explicit by adding a "groundwork" example.)
4. The final sentence mentions another result (the handbook) and makes reference to scope of work (\$2 billion program).

Activity Area IV: Acquisition and Administration of Financial and Material Resources

CONTENT DESCRIPTION AND COMPETENCIES: Concerns activities and procedures related to obtaining and allocating the financial and material resources necessary to support program or policy implementation. Major competencies within this activity are:

- Managing the budgetary process—preparing, justifying, operating through organizational and congressional procedures, administering.
- Overseeing procurement-contracting procedures and processes.
- Directing-coordinating logistical operations.

Inadequate Example

"Mr. X's position requires that he discharge a full range of administrative support functions including real and personal property management, printing information services, travel, and buildings management. The management process involves budgetary, procurement, funds control and reconciliation activities. He has a firm grasp of these activity areas as they relate to these duties and responsibilities as a major administrative management official."¹

Notes

1. The narrative offers only a listing of administrative functions in which the nominee has worked. No activities or procedures related to the work are described; no illustrations of competencies used in accomplishing work are offered. It is not possible to judge the depth of experience, potential to perform, or possession of specific executive competencies from the above competencies.

Good Example

"Mr. Y prepares major budgetary justifications of proposed programs to the agency, OMB, and the Congress. He draws on his knowledge of program planning preliminary to decision-making for the budgetary process. On the basis of his participation in program planning sessions and intimate knowledge of the Director's program development viewpoints, he determines the operating fiscal allocations for all operating divisions and groups and is the main point of contact with the Office of Financial Management for control of operating funds and decisions which may be necessary to adjust fiscal allocations. Mr. Y approves budgetary changes during the year based on his evaluation of changing circumstances and operating requirements, as presented to him by the Budget Officer and/or key program officials. Where existing formal accounting systems do not provide adequate data for satisfactory operational use, he directs the design and application of functional accounting systems which yield the required information.¹ He directed the geographical transfer of his agency from Atlanta, Georgia, to Bethesda, Maryland. This transfer involved the relocation or placement in other Government agencies of 75 individuals and the movement of complex and delicate audiovisual equipment. The program was seriously constrained in that the transfer resulted in a significant number of positions being vacated.² To prevent further jeopardy to the program he developed a justification and obtained an exception to a hiring freeze.³ Had the exception not been granted, this would have resulted in a severe adverse impact on the program's ability to provide critical services."

Notes

1. The range of work experience in this activity is well described.
2. This is a good example of using a problem statement as a framework in which to describe mastery of administrative skills.
3. This is a clear outcome statement—it describes specific results stemming from application of administrative skills.

Activity Area V: Utilization of Human Resources

CONTENT DESCRIPTION AND COMPETENCIES: Involves activities and processes for assuring that people are appropriately employed, effectively and efficiently utilized, developed and dealt with in a fair and equitable manner. Major competencies within this activity area are:

- Acquiring staff through appropriate staffing processes—workforce planning, recruitment and selection, including affirmative action and EEO.
- Delegating work among subordinate groups and individuals.
- Conducting performance appraisals and providing appropriate rewards and/or disciplinary action.
- Assessing individual capabilities and needs and providing coaching, counseling, and career development opportunities.
- Resolving conflicts and attending to morale and organizational climate issues.

Inadequate Example

"I have been involved in selecting, training, counseling and developing personnel, planning and organizing their activities, evaluation of performance, EEO, and upward mobility and personnel management. I have also worked to improve these skills in myself and other staff members who perform these functions, and to provide access to learning opportunities."

Notes

1. The narrative offers only a partial list of the types of activities found in the area of human resources utilization. It does not describe activities or strategies pursued to accomplish work, and does not speak to the nominee's skills or experiences in this activity area. General assertions, such as those found above, simply repeat the definition of the activity area, and do not offer any evidence which can be reviewed in terms of a competency assessment.

Good Example

"When Mr. Y assumed the position as Chief, Pricing Branch, Cleveland Ordnance District, he found a completely demoralized staff. Of the two immediate branch chiefs, one had been separated from Government service for actions prejudicial to the Government's best interest, and the other downgraded for ineffective management. Among all staff, tardiness was the rule rather than the exception. Sick leave was being abused. Work products of the office were late and of poor quality. Job descriptions were out of date. Performance appraisals were late and ineffective. Few on the staff knew what they were supposed to be doing. Contract awards were being delayed because the office was not responsive. Mr. Y took the following measures: (1) individual consultations and group meetings were held, (2) job descriptions were updated, (3) work assignments were thoroughly planned (4) stylized work product formats were developed, (5) detailed work steps were outlined, (6) assisted and participated with staff in offsite office work assignments, (7) assured recognition of work assignments well done, (8) offered constructive comments to improve the quality of the work products where appropriate, (9) encouraged participation and comment in office procedures, (10) provided opportunity for individual staff personnel to utilize improved analytical cost and price techniques, and (11) replaced outdated office machines with modern equipment. Through this participation, communication and recognition process, within a few months tardiness and abuse of sick leave were eliminated, the quality and timeliness of work products moved from poor to excellent, and the staff gained high respect from other offices for work well done, and morale improved 100%. Funds were budgeted to provide offsite training to improve staff capability for advancement, a facet of career development that had been long neglected."

Notes

1. Notice that this nominee used a "critical incident" approach in presenting his background in this activity area. Presentation of a problem—and description of activities implemented to solve the problem—is a concise and illustrative manner in which to present evidence that the nominee does indeed possess a range of needed skills in this area and can apply those skills to accomplish results.

Activity Area VI: Review of Implementation and Results

CONTENT DESCRIPTION AND COMPETENCIES: Involves activities and procedures for seeing that programs and policies are being implemented, adjusted as necessary, and that the appropriate results are being achieved. Major competencies within this activity area are:

- Monitoring work status through formal and informal means.
- Diagnosing and consulting on problem areas relating to implementation and goal achievement.
- Evaluating technical and non-technical program outcomes and impacts.
- Assessing overall effectiveness, efficiency, and productivity of the organizational unit.

Inadequate Example

"On a continuing basis, Ms. X is intimately involved in the monitoring of ongoing activities, the identification of both potential and present deficiencies, and the making of recommendations for their ultimate improvement and correction. The most recent example was the updating and revising of the Agency Program System Plan which clearly was a major undertaking."

Notes

1. Clearly, this statement is deficient in defining any competencies or experience in the activity area. It is, however, typical of most of the qualifications statements reviewed for this area. Note that specific descriptions of experience and/or skill (as discussed in the other activity areas) should be emphasized here as well as in the other five areas.

Good Example

"Mr. Y conducts two types of formal reviews with the Military Departments. The first type is budgetary in nature.¹ In March 1979 and again in August 1979 he conducted POM and apportionment reviews. In the first review, he assessed the Military Department's plan for the funding (\$4M additional) of the FY 1981 budget. At this review he raised issues with regard to the Navy's inadequate funding of undersea warfare technology. During the subsequent months he negotiated a compromise plan for adequate funding of undersea warfare exploratory development with the Assistant Secretary of the Navy (Research, Engineering and Systems). In August 1979 he held apportionment reviews to insure that appropriated funds were properly allocated.² The second type of review Mr. Y conducts is topical in nature.³ In May 1979 he reviewed the Service programs based on their technical and managerial aspects. In this review he examined the state-of-the-art in terminal guidance and mid-course guidance technology and identified technological gaps in seeker signal processing. This gap was filled in later months by restructuring some of the laboratory signal processing programs. These formal reviews are accomplished on a continuing basis.⁴ This year Mr. Y has consolidated the budgetary and topical reviews to conserve travel costs and to place a smaller burden on the laboratory directors responsible for the presentations."

Notes

1. This description begins by specifically identifying the type of reviews in which the nominee is engaged. Readers are thus provided with a concrete framework within which to judge the type of work accomplished.
2. These sentences describe how the nominee conducted reviews and what occurred as a result of those reviews, which indicates that he has more than a pro forma relationship with the work done in this activity area.
3. Again, the type of review is specifically stated.
4. Note again the specific nature of the activity description.

Appendix

Research Base

Executive Qualifications

The executive qualifications material in this guide represents the culmination of a three-year research effort within OPM's Office of Executive and Management Development. This research included:

- a. An extensive review of previous studies (job analyses, empirical research, and theory) of management jobs and responsibilities in public and private organizations;
- b. The collection and analysis of data from SES and mid (GS 13-15) managers/supervisors using techniques—survey research and critical incidents interviews—that treated incumbents of management positions as the subject matter experts on management jobs, roles, and competencies. The findings from these studies are reported in *Senior Executive Service and Mid Managers' Job Profiles* (March 1981), *Senior Executive Service Competencies: A Superior Managers' Model* (July 1981), and an unpublished job analysis study of SES positions in a small scientific and regulatory agency; and,
- c. An analysis of approximately 200 cases reviewed by Qualifications Review Boards for certification of executive qualifications for SES career appointments.

The findings from The Federal Manager's Job and Role Survey summarized on page 15 provide specific information on the similarities and differences between SES and mid managers' jobs.

Developing Executives

"The most common cause of executive failure is unwillingness to change with the demands of a new position." (Peter Drucker)

* * *

"I found the most difficult thing which I faced, and I think it is probably more typical of executive work than managerial work, was the trade-offs and balances that had to be made. I had to deal with so many conflicting areas: regional versus central office; Congressional influence on my decision versus getting the director of the agency to take the heat; going ahead with a personnel action even though it involved a very sensitive issue; and evaluating other risky

things. Not that managers don't do this, but I was trying to juggle, at the same time, trade-offs in ten or fifteen major areas of expertise with many of those trade-offs involving issues outside the organization about which I had only peripheral knowledge."

(Excerpt from a critical incident interview with an SES career executive).

* * *

Key factors for assessing individual strengths and developmental needs vis-a-vis executive positions include an understanding of (a) executive functions and roles and the competencies associated with effective performance, and (b) how these may differ from those of mid management (or other) jobs. The differences between SES and mid management jobs can be summarized as changes in the "who, what, and how" of work. Compared to mid managers, SES managers:

- a. Have to deal with a broader range of people and groups outside the organization (who);
- b. Are more involved in setting policy and program directions and generally have to take into account a more diverse set of issues and problems (what); and,
- c. Are further removed from day-to-day operations and supervision of work and more involved in coordinating-integrating activities across functions and organizations (how).

Looking at differences in the who, what, and how of jobs at the two management levels can provide the individual with a framework for identifying relevant types of developmental experiences—e.g., working on an interagency task force; having a special assignment in the agency's congressional liaison or public affairs office; taking a course in the budgetary process, group dynamics, etc. However, another key piece in the developmental process is examination of individual preferences, values, motives, and goals in relation to the requirements of executive work. A large percentage of SES positions require competence in a technical specialty—law, engineering, science, accounting, etc.—as well as managerial competence. As noted, executive jobs are further removed from hands-on work and technical details than the other managerial levels. Therein lies a basic reason for examining individual

preferences, values, motives, and goals within the context of executive development.

"The very nature of the technician's job usually demands that he focus on one problem at a time, and even one small piece of the problem. The technician is dealing with one piece of the jigsaw puzzle. The manager's job requires constant awareness of all the pieces of the puzzle—to see that they all fit together at the right time and in the right sequence. Both of these are valuable and essential functions in an organization's operation; they just involve a different perspective.

"There is nothing about the managerial perspective that cannot be learned. But you first need to ask yourself if your years as a technical expert have not developed such a habit of using a peep-sight focus on technical details that you will have a difficult time, at first, maintaining your peripheral vision to see things whole.

"Ask yourself if you really want to make the change. Many people who are called managers, and should be spending 90% of their time on management work, just won't let go of the technical work . . . you must reorient, regroove, and retrain yourself."

(Louis B. Lundborg,
retired private sector executive)

Summary of Similarities and Differences Between Responses of SES and Mid Managers to the Federal Manager's Job and Role Survey

Aspects More Characteristic of SES Managers' Jobs	ACTIVITIES COMMON TO SES AND MID MANAGERS' JOBS	Aspects More Characteristic of Mid Managers' Jobs
<ul style="list-style-type: none"> • More Emphasis on Long-Range Planning and Formulating Program or Policy Directions • More Frequent Need for Understanding of External Issues: <ul style="list-style-type: none"> —Policies and preferences of clientele groups —Key issues and participants in agency budget process —OMB role —Congressional committees and subcommittees powers and roles —External political and social conditions —Structure and relationships of branches of Federal government • Greater Emphasis on General Oversight and Direction • More Time Working in Groups, Meetings • Greater Emphasis on Agency or Program-Wide Concerns • More Contacts and Representational Activities With High-Level Agency Officials and Persons Outside the Agency: <ul style="list-style-type: none"> —Clientele groups —Nonprofit organizations —General public —State and local officials —Public interest groups —Members and staff of Congress —OMB staff —GAO staff —Representatives of other government agencies —Media —Officials from foreign governments or international agencies —Agency non-career officials —Career SES members 	<ul style="list-style-type: none"> • Planning, Budgeting, Prioritizing, Scheduling • Reviewing, Monitoring, Assessing, Evaluating Program-Policy Issues, Problems, Outcomes • Diagnosing Organizational Problems, Introducing Change, Reorganization, Redesign, etc. • Working With Subordinates, Boss, Peers in Agency, and Others; Dealing With People Issues • Integrating the Efforts of Others, Coordinating, Consulting, Direction • Oral and Written Communication • Networking, Keeping Up-To-Date, Information Dissemination, Representing Unit 	<ul style="list-style-type: none"> • More Time on Technical Issues and Work Projects • Greater Emphasis on Operational and Day-To-Day Details Within the Work Unit • More Time With Subordinates and Involvement with Personnel and Individual Development Issues: <ul style="list-style-type: none"> —Rules and procedures associated with hiring, rewarding, disciplining, and doing performance appraisals —Career development needs —Coaching and counseling techniques • More Time Spent on Various Forms of Correspondence